



Los Angeles County
Registrar-Recorder/County Clerk

RECORDS MANAGEMENT AND ARCHIVES PROGRAM

*Preserving Yesterday, Managing Today, and Preparing
for Tomorrow*

Presented by: Jeffrey Pransky
Ernie Gomez



Los Angeles County Registrar-Recorder/County Clerk

When records are well managed, agencies can use them to assess the impact of programs, to reduce redundant efforts, to save money, and to share knowledge within and across their organizations. In these ways, proper records management is the backbone of open Government.

Barrack Obama (November 2011)

**Presidential Memorandum:
Managing Government Records**





Overview

- 1) Records Management: 1963 to 2013
- 2) Research & Development
- 3) Where we are now
- 4) Our Future: Vision, Mission, and Goals



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Los Angeles County
Registrar-Recorder/County Clerk

The Proposal



L. S. HOLLINGER
CHIEF ADMINISTRATIVE OFFICER

CHIEF ADMINISTRATIVE OFFICER
COUNTY OF LOS ANGELES

713 HALL OF ADMINISTRATION / LOS ANGELES 12, CALIFORNIA

MEMBERS OF THE BOARD
WARREN M. DORN
CHAIRMAN
FRANK G. BONELLI
KENNETH HAHN
ERNEST E. DEBS
BURTON W. CHACE

December 19, 1963

HONORABLE BOARD OF SUPERVISORS
County of Los Angeles

Amending Ordinance 4099

In summary, we believe that Records Management in the County has progressed to the point where a formal, centrally directed program is needed. We are, therefore, recommending that your Board establish a formal Countywide Records Management program, that you authorize one additional position to develop and administer the program, and that you make provision for future establishment of a County central records depository.

maintaining County records. This has been repeatedly demonstrated by your many actions authorizing the destruction of obsolete records, and particularly on April 3, 1962 when you instructed this office to study the possibility of establishing a central records depository in the County. In response to this Board



Reinvented...

Ordinance 4099 Art. 6 § 120.5, 1942

Ordinance 8543 § 1, 1964

Ordinance 9604 § 1, 1968

Ordinance 10319 § 1, 1971

Ordinance 11255 § 1, 1975

Ordinance 95-0052 § 4, 1995



Los Angeles County
Registrar-Recorder/County Clerk

Action

ORDINANCE NO. _____

Ordinance amending Title 2 - Administration of the LA

to the Records Management Program.

The Board of Supervisors of the County of Los Angeles

SECTION 1. Section 2.08.070 (Chief Administration

Records Management pro

officer



Los Angeles County
Registrar-Recorder/County Clerk

2013

Records Management and Archives Program

**CEO relinquishes program to the
Registrar-Recorder/County Clerk
Ordinance 2.32.370**



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Los Angeles County Registrar-Recorder/County Clerk

Researched Legislation

California Codes



Code of Federal Regulations

LEGISLATIVE / EXECUTIVE / JUDICIAL **HELP / ABOUT**

A-Z RESOURCE LIST **FIND A FEDERAL DEPOSITORY LIBRARY** **BUY PUBLICATIONS**

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Electronic Code of Federal Regulations
e-CFR™

e-CFR Data is current as of March 20, 2012

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Other Legislative Resources:

- California Secretary of State
- Local Jurisdiction Citations
- County Fiscal Manual (2003-2009)
- Individual County Agencies

Internal Services Department
Auditor Controller
CEO
RR/CC Legislation Unit



Researched Associations / Affiliations

- ARMA International - Association of Records Managers and Administrators
- NARA - National Archives and Records Administration
- AIIM - Association for Information and Image Management
- The Institute of Certified Records Managers



Comparative Programs & Resources

- **King County, Washington**

Department of Executive Services; Records, Animal & Licensing Services Division (RALS); Records Management & Archives Program

- **Riverside County, California**

Assessor-County Clerk-Recorder; Records Management and Archives Program

- **City of Los Angeles, California**

Office of the City Clerk; Records Management and Historical Archives Division



Collaborated with CEO, County Counsel & CIO

- Agreed upon the definition of a record and non-record
- Coordinated with CEO, Deloitte, County Counsel & CIO in the development of record retention schedules
- Contacted several core departments to validate schedule citation codes and record descriptions



For the Record....

Any recorded information on electronic, paper, photographic or any other media that is created, prepared, executed, produced, received, distributed or maintained pursuant to law, regulation, and/or in the normal course of doing County business and is kept as evidence of that activity.



Applies to.....

This definition applies to all records maintained in County offices, storage areas, electronic systems and storage devices. These devices include networked servers, mainframes, data warehouses, storage area networks, electronic data interchanges, imaging and document management systems, personal computers, laptops, internal or external hard drives, magnetic tapes, optical disks and any other system or device used to perform County business.



Examples of Non-Records

Non-Records: The following are not considered records:

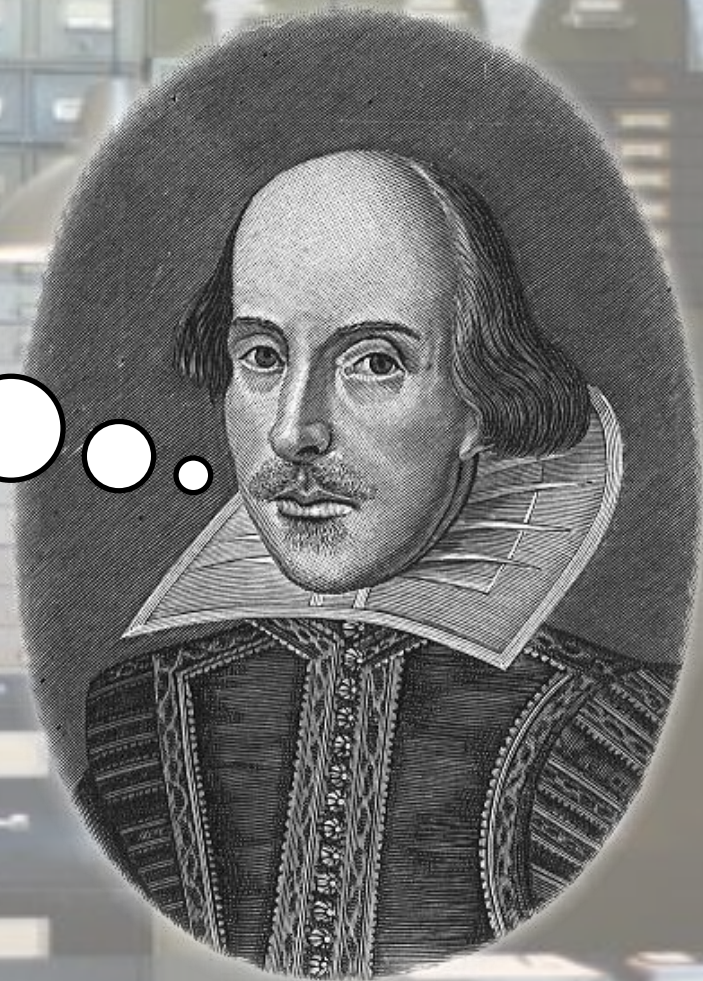
- Duplicates of an Official Copy record made solely for convenience or reference
- Working papers, notes, draft versions, including but not limited to email discussions used to develop the finalized Official Copy of a record, unless they are specifically required to be retained by the Program, law, regulation, or order
- Stocks of publications and blank forms
- Material intended solely for reference or exhibition
- Material with no requirement for retention under the Program

Such information may be disposed of at any time unless needed as part of a Legal Hold.



Los Angeles County
Registrar-Recorder/County Clerk

**To Keep or
Not to Keep...
Is that Your
Question?**





Los Angeles County Registrar-Recorder/County Clerk

RETENTION SCHEDULES

County Departments will utilize two types of Retention Schedules.

1) General Records Retention Schedule: Records which apply to all County Departments.

2013.06.5_GRRS - Draft_web.xls [Compatibility Mode] - Microsoft Excel

File Home Insert Page Layout Formulas Data Review View					
D3					
1	A	B	C	D	E
2	RECORDS MANAGEMENT & ARCHIVES				
3	GENERAL RECORDS RETENTION SCHEDULE (GRRS) - COUNTYWIDE				
4	FISCAL MANAGEMENT				
5					
6					
7	G.05.000	Functional Area: FISCAL MANAGEMENT (Budget and Finance)			
8					
9	Record Code	Record Title	Record Description	Retention Period	Authority Citations
10	G.05.010	Accounts Payable and Expenditure Transactions	Consists of supporting documentation for goods and services purchased by the County. Includes vendor invoices and documentation associated with year-end accounts payable. *Does not include documentation associated with amounts due to other funds of the County (see G.05.200, Internal Voucher)	Audited + 5 years	GC 26907; CFM 4.3.2; CFM 4.5.3
11	G.05.020	Accounts Receivable & Revenue Transactions	Consists of supporting documentation for revenues and other amounts owed to the County. Includes documentation for amounts billed by the County for services rendered and year-end accrual of accounts receivable. *Does not include documentation associated with amounts due from other funds of the County (see G.05.200, Internal Voucher)	Audited + 5 years	
12	G.05.030	Bank Account Records	Consists of records related to collection accounts and checking accounts. Includes, but is not limited to: <ul style="list-style-type: none">• Bank statements• Negotiated, cancelled or returned checks & warrants• Non-sufficient funds• Monthly reconciliations & tracers	Audited + 5 years	County Fiscal Manual (CFM) 1.2.0; 1.2.3
13	G.05.040	Budget Adjustment	Consists of documentation that increases available appropriation or adjusts appropriation levels within a departmental budget.	Audited + 5 years	CFM 4.1.4
14	G.05.050	Budget Status Report (BSR)	Consists of budget-to-actual comparisons and budget-to-estimated expenditures and revenue in connection with financial reporting for the general fund and individual major special revenue funds.	Closed + 5 years	
15	G.05.060	Budget, Adopted (Final)	Consists of budget documents formally approved by the BOS after the required public hearing and deliberations on a proposed budget.	Permanent	
16	G.00 BOARD, COMMISSION, EXEC. G.01 ADMIN G.02 EQUIP, SUP, SPACE, FACIL G.03 HR G.04 IT G.05 FISCAL G.06 MKT			(Supported by CC)	

Ready



Los Angeles County Registrar-Recorder/County Clerk

RETENTION SCHEDULES

2) Department Records Retention Schedule: Record types which exclusively apply to a single Department.

RRCC.xls [Compatibility Mode] - Microsoft Excel

1	A	B	C	D	E	F	G	H
2	Los Angeles County Records Retention Schedule							
3	Registrar-Recorder/County Clerk (RRC)							
4	RECORD CODE	RECORD TITLE	RECORD DESCRIPTION	RESPONSIBLE BUSINESS UNIT	RETENTION PERIOD	AUTHORITY CITATIONS	REMARKS	
5	RRC-010	Candidate Financial Disclosure Statements	Includes: Detailed report of monetary contributions, expenditures, loans, unpaid bills, campaign cost, non-cash contributions, refunds of campaign expenditures, transfers, non-campaign housekeeping expenses, and a summary of receipts.	Registrar-Recorder/County Clerk	Permanent: State office and County Supervisor office holders and candidates; 7 years: Other office holders; 5 years: All others	Cal Gov Code 81009		
6	RRC-020	Candidate Nomination and Qualification Records	Includes: Nomination papers, "Signatures in Lieu of" petition, applications, declarations of candidacy, and related records.	Registrar-Recorder/County Clerk	4 years after expiration of the term of office for which they were filed, unless used as evidence or requested in a legal action.	Cal Election Code 17100(a)		
7	RRC-030	Candidate Organization, Registration, and Campaign Statements	Includes: Organization, registration, and campaign statements.	Registrar-Recorder/County Clerk	Permanent: State office and County Supervisor office holders and candidates; 7 years: Other office holders; 5 years: All others	Cal Gov Code 81009		
8	RRC-040	Elections: Ballot Records	Contains active, spoiled, and cancelled ballots, and related records. Includes: Branch voting schedules and daily registers, tally sheets, absentee ballot requests and applications (except federal post card applications), absentee voter ballot planet seeds report, cancellation of absentee ballot requests, notices of denial of cancellation, prior registration notices, lists of corrected ballots sent, untimely and rejected ballots, jacket envelopes (unless for use in subsequent election), provisional and failsafe envelopes, absentee rosters	Registrar-Recorder/County Clerk	22 months: Federal elections; 6 months: State and local elections, unless an election contest or criminal action commences during that time then retain until the case is completed.	Cal Election Code 17301-17306; Cal Election Code 17504(b); Cal Election Code 17505(b)		

Program Schedule | Record Types in GS | Record Types to Add to GS

Ready | 90% | 9:25 AM



Los Angeles County Registrar-Recorder/County Clerk

GRRS Update

Initial Revision of GRRS

2012.02.17_GRS - Attachment

File Edit View Insert Format Data Tools Help

fx # B C D

	Record Code	Record Title	Record Description
26	G.1.24 - Combines G.1.17, G.1.44, G.1.45	Historical Records	Published or unpublished histories written by or financed from County funds about the County government or an individual County department. They may include title, author, date written and a historical narrative. Note-Records that document the functions and activities of a department. May include promotional media including press releases, news clippings, photographs (prints and negatives), videos, audios, CD's DVD's and other media. Also includes speeches, written histories, monographs, brochures, pamphlets, scrapbooks except the County or any of its departments, programs, or projects noted elsewhere in this retention schedule. May include biographical files.
27	G.1.25	Incident Reports	Documents related to incidents occurring between any County office and any individual, group, corporation or government.
28	G.1.26	Incoming Document Log	Logs (paper or electronic) that track incoming documents that require distribution or action. Includes date received, description of record, action and date of action taken.
29	G.1.27	Mailing Lists	Lists utilized for administrative purposes to distribute correspondence, documents, and other material to County departments, outside governmental agencies and the public.
30	G.1.28	Management Surveys/Studies (Internal)	Raw data and work papers for any survey conducted to study management issues such as client/patron/employee satisfaction and service improvement. Data may include survey response cards, telephone poll results, tally sheets, opinion cards for suggestion boxes, and other records related to the study of internal operations. This does not include a consultant report. The final computation of the data is produced as a survey report and may be scheduled either as a part of

Consolidating Record Series

CURRENT RECORD SERIES

G.01.0 - Administrative Functions

G.02.0 - Audit and Compliance

G.03.0 - Contract Management

G.04.0 - Emergency Management

G.05.0 - Capital Projects / Facilities Management

G.06.0 - Financial Management (Changed to Fiscal)

G.07.0 - Grant Management

G.08.0 - Human Resources

G.09.0 - Information Technology

G.10.0 - Legal/Legislative Functions

G.11.0 - Marketing Services/Public Information

G.12.0 - Records Management

G.13.0 - Risk Management

G.14.0 - Strategic Planning

G.15.0 - Support Services

NEW RECORD SERIES

G.01.0 - Administrative Functions

(G.12.0 - Records Management, G.14.0 - Strategic Planning, G.13.0 - Risk Management)

G.05.0 - Equipment Supplies/Space Facilities

(Support Services, Capital Projects/Facilities Management, Emergency Management)

G.08.0 - Human Resources

G.09.0 - Information Technology

G.06.0 - Fiscal (Audit and Compliance, Financial, Grant)

G.11.0 - Marketing Services/Public Information

G.10.0 - Legal/Legislative Functions (Contract Mgmt.)



Los Angeles County
Registrar-Recorder/County Clerk

AUTHORITY RESEARCH

Adding Legal Citations

Section	26202	26205	26205.1
		At request of county officer	County officer may destroy ALL: Nonjudicial records, documents, instruments, books, papers
			IF
			(a) (1) Board resolution (2) electronic repro for public use (3) trusted system
			(b)

RECORDS MANAGEMENT CALIFORNIA CODES

GC 26202
GC 26202.1
GC 26202.6
GC 26205
GC 26205.1
GC 26205.5
GC 26202.7
GC 26907
GC 12168.5
GC 12168.7
EC 1550
EC 1550.1
EC 1551

COUNTY FISCAL MANUAL

Revised – May 2009



Revising Retention Periods

**Government Code
26202 – Rule of 2**

**Justifying Permanent
Records**

**Cross-Referencing
other Jurisdictions**



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Records Management Role

- Meet with department coordinators for implementation of Countywide program
- Prepare Records Management policies, procedures, and program documents for Board approval
- Explore Enterprise Compliance Solutions to assist in managing records
- Initiate Pilot program at RR/CC
- Oversee Records Management and Archives Intranet website



Archivist Role

- Identify and research records and items of permanent historical value
- Develop digital archives policies and procedures for non-paper based records
- Develop policy for assessing historical and research value of County records
- Provide guidance and assistance with historical research related to the County



Los Angeles County
Registrar-Recorder/County Clerk

Records Management and Archives Website



Los Angeles County
Registrar-Recorder/County Clerk

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Records Management & Archives

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Los Angeles County Records Management & Archives

What is the Program About?

The Records Management and Archives program helps County departments:

- Develop guidelines to manage County records
- Reduce costs of managing records
- Identify and secure confidential information and vital records
- Increase customer service efficiency by streamlining organization and search methods
- Preserve records with archival value to the County
- Train employees how to manage records and archives

What do you think of this new website? [Take a survey.](#)



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Vision Statement

To establish and maintain an effective public sector records management program in Los Angeles County and become a leading records management program at the local, state, and national level.



Los Angeles County
Registrar-Recorder/County Clerk

Mission Statement

To implement a countywide record retention program by fostering collaboration, promoting continuous improvement and implementing innovative tools and technology.



Program Short-term Goals (2 years)

- 1. Increase our expertise and overall understanding to provide increased customer services**
- 2. Modify our organization structure to be able to address Archival Records**
- 3. Successfully pilot an Enterprise Compliance Solution at the RR/CC**
- 4. Have Program Documents and Records Retention Schedules approved by the Board of Supervisors**



Program Long-term Goals (5 years)

- 1. Become a one-stop-shop for all of your records management questions and concerns**
- 2. Host semi-annual records coordinator meetings**
- 3. Incorporate Enterprise Compliance Solution Countywide**
- 4. Explore a centralized records management and archives center**



Los Angeles County
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Comments, Questions?